

Please type a sign (+) inside this box → ☐

PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. PF199D2
First Inventor Ni et al.
Title Natural Killer Cell Enhancing Factor C
Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages: 47]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 8]
5. ☒ Oath or Declaration [Total Pages 2]
 - a. ☐ Newly executed (original or copy)
 - b. ☒ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76.

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☒ paper [Total Pages: 11]
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Copy of Assignment Papers (cover sheet & document(s)) from prior application serial no. 08/467,265 (4 pages)
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement/ Form PTO/SB/08
 - ☐ Copies of Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☒ Other: Request Under 37 C.F.R. § 1.821(e).
Information Disclosure Statement
w/PTO/SB/08 (4 pages)

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-Part (CIP) of prior application No: 09/407,891, filed September 29, 1999.
Prior application information: Examiner: Mertz, P. Group/Art Unit: 1646

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.


18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 22195 or ☐ Correspondence address below

NAME					
ADDRESS					
CITY	STATE	ZIP CODE			
COUNTRY	TELEPHONE	FAX			
NAME (Print/Type)	Jonathan L. Klein		Registration No. (Attorney/Agent)	41,119	
SIGNATURE	<i>Jonathan L. Klein</i>		Date	July 24, 2001	

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**FEE TRANSMITTAL
for FY 2001***Patent fees are subject to annual revision.***Complete if Known**

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1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to: Deposit Account Number 08-3425 Deposit Account Name Human Genome Sciences, Inc. <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27		<table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">3. ADDITIONAL FEES</th> <th></th> <th></th> <th></th> <th></th> </tr> <tr> <th>Large Entity Fee Code</th> <th>Small Entity Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>205</td><td>130</td><td>65</td><td>Surcharge - late filing of Oath or Declaration</td><td></td></tr> <tr><td>127</td><td>227</td><td>50</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>139</td><td>130</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>147</td><td>2,520</td><td>2,520</td><td>For filing a request for <i>ex parte</i> reexamination</td><td></td></tr> <tr><td>112</td><td>112</td><td>920</td><td>920</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>113</td><td>1,840</td><td>1,840</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>215</td><td>110</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>216</td><td>390</td><td>195</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>217</td><td>890</td><td>445</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>218</td><td>1,390</td><td>695</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>228</td><td>1,890</td><td>945</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>219</td><td>310</td><td>155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>220</td><td>310</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>221</td><td>270</td><td>135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>138</td><td>1,510</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>240</td><td>110</td><td>55</td><td>Petition to revive -unavoidable</td><td></td></tr> <tr><td>141</td><td>241</td><td>1,240</td><td>620</td><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>142</td><td>242</td><td>1,240</td><td>620</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>243</td><td>440</td><td>220</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>244</td><td>600</td><td>300</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>122</td><td>130</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>123</td><td>50</td><td>50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126</td><td>126</td><td>180</td><td>180</td><td>Submission of Information Disclosure Statement</td><td></td></tr> <tr><td>581</td><td>481</td><td>40</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146</td><td>246</td><td>710</td><td>355</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>249</td><td>710</td><td>355</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td>179</td><td>279</td><td>710</td><td>355</td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169</td><td>169</td><td>190</td><td>900</td><td>Request for expedited examination of a design application</td><td></td></tr> <tr><td colspan="5">Other fee (specify):</td><td></td></tr> <tr><td colspan="5">Other fee (specify):</td><td></td></tr> <tr><td colspan="5">*Reduced by Basic Filing Fee Paid</td><td></td></tr> <tr><td colspan="5" style="text-align: right;">Subtotal (3)</td><td style="text-align: center;">\$0.00</td></tr> </tbody> </table>		3. 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Name (Print/Type) Jonathan L. Klein		Registration No.: 41,119	Telephone (301) 251-6015																																																																																																																																																																																																												
Signature: 		Date July 24, 2001																																																																																																																																																																																																													

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MKD-15-76

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Patent and Trademark Office

05-07-1996

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OVER

OMB No. 0051-0011 (exp. 4/94)

100186714

To the Honorable Commissioner of Patent and Trademarks:
Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

NI, Jian; YU, Guo-Liang;
GENTZ, Reiner L.; ROSEN, Craig A.Additional name(s) of conveying party(ies) attached:
☐ Yes ☒ No

2. Name and address of receiving party(ies):

Name: Human Genome Sciences, Inc.

Internal Address: _____

Street Address: 9410 Key West AveCity: Rockville State: MD Zip: 20850-3338Additional name(s) & address(es) attached: ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment ☐ Merger☐ Security/Agreement ☐ Change of Name☐ Other _____Execution Date: 2/20/96; 2/21/96

4. Application number(s):

If this document is being filed together with a new application, the execution date of the application is: _____

A. Patent Application No.(s)

08/467,265

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Gregory D. FerraroInternal Address: CARELLA, BYRNE, BAIN,
GILFILLAN, CECCHI, STEWART & OLSTEINStreet Address: 6 Becker Farm RoadCity: Roseland State: NJ Zip: 070686. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41)....\$ 40.00☒ Enclosed☐ Authorized to be charged to deposit account

8. Deposit account number:

03-0678

(Attach duplicate copy of this page if paying by deposit account)

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9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*Gregory D. Ferraro

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document: 3

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents & Trademarks, Box Assignments

Washington, D.C. 20231

Docket No.: 325800-456